

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Linn, Richard	2. Court or Organization U.S. Court of Appeals for the Federal Circuit	3. Date of Report 03/22/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address U.S. Court of Appeals for the Federal Circuit 717 Madison Place, N.W. Washington, DC 20439		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Member	The Richard Linn American Inn of Court
2. Visiting Member	The Hon. William C. Conner American Inn of Court
3. Lifetime Member	The Benjamin Franklin American Inn of Court
4. President	Cocobay Condominium, Inc.
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)*

A. Filer's Non-Investment Income



NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)



NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)



NONE *(No reportable reimbursements.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	The Richard Linn American Inn of Court	March 14-15, 2019	Chicago, IL	Inn of Court Meeting	Transportation, Meals, and Hotel
2.	The Benjamin Franklin American Inn of Court	March 21-22, 2019	Philadelphia, PA	Inn of Court Meeting	Transportation, Meals, and Hotel
3.	The New York Intellectual Property Law Association	March 22-23, 2019	New York, NY	Annual Judges Dinner	Transportation, Meals, and Hotel
4.	The William C. Conner American Inn of Court	April 17-18, 2019	New York, NY	Inn of Court Global Patent Symposium	Transportation, Meals, and Hotel
5.	The Richard Linn American Inn of Court	May 16-17, 2019	Chicago, IL	Inn of Court Meeting	Transportation, Meals, and Hotel

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6.	New Jersey Intellectual Property Law Association	June 7-8, 2019	Short Hills, NJ	Bar Association Annual Dinner	Transportation, Meals, and Hotel
7.	The Richard Linn American Inn of Court	June 27-30, 2019	Chicago, IL	Inn of Court Annual Dinner	Transportation, Meals, and Hotel
8.	Eastern District of Texas Bar Association	September 23-26, 2019	Plano, TX	Bar Association Bench & Bar Conference	Transportation, Meals, and Hotel

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☒ NONE *(No reportable liabilities.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Bank of American Cash Equivalent Account	A	Interest	J	T					
2. Brokerage Account #7									
3. -American Funds: Washington Mutual Invest. Fund Class 529A	A	Dividend			Sold	02/28/19	J		
4. -American Funds: College Enrollment Fund Class 529A	A	Dividend			Buy	02/28/19	J		
5.					Sold (part)	07/11/19	J		
6.					Sold	07/17/19	J		
7. Brokerage Account #9									
8. -American Funds: Washington Mutual Invest. Fund Class 529A	A	Dividend			Sold (part)	01/22/19	J		
9.					Sold (part)	02/08/19	J		
10.					Sold	02/28/19	J		
11. -American Funds: College Enrollment Fund Class 529A	A	Dividend			Buy	02/28/19	J		
12.					Sold (part)	04/08/19	J		
13.					Sold (part)	04/23/19	J		
14.					Sold	04/26/19	J		
15. Brokerage Account #10									
16. -American Funds: AMCAP Fund Class 529A	A	Dividend			Sold	02/28/19	J		
17. -American Funds: EuroPacific Growth Fund Class 529A	A	Dividend			Sold	02/28/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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Name of Person Reporting

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. -American Funds: Washington Mutual Invest. Fund Class 529A	A	Dividend			Sold	02/28/19	J		
19. -American Funds: Intermediate Bond Fund of America Cl. 529A	A	Dividend			Sold	02/28/19	J		
20. -American Funds: College Enrollment Fund Class 529A	A	Dividend	J	T	Buy	02/28/19	K		
21.					Sold (part)	04/26/19	J		
22.					Sold (part)	06/10/19	J		
23.					Sold (part)	07/08/19	J		
24.					Sold (part)	07/24/19	J		
25.					Sold (part)	08/06/19	J		
26.					Sold (part)	08/08/19	J		
27.					Sold (part)	08/19/19	J		
28.					Sold (part)	09/09/19	J		
29.					Sold (part)	10/07/19	J		
30.					Sold (part)	11/08/19	J		
31.					Sold (part)	11/22/19	J		
32.					Sold (part)	12/09/19	J		
33. Brokerage Account # 11									
34. -American Funds: AMCAP Fund Class 529A	A	Dividend			Sold	02/28/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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35. -American Funds: EuroPacific Growth Fund Class 529A	A	Dividend			Sold	02/28/19	J		
36. -American Funds: Washington Mutual Invest. Fund Class 529A	A	Dividend			Sold	02/28/19	J		
37. -American Funds: Intermediate Bond Fund of America Cl. 529A	A	Dividend			Sold	02/28/19	J		
38. -American Funds: College Enrollment Fund Class 529A	A	Dividend	K	T	Buy	02/28/19	K		
39.					Sold (part)	07/17/19	J		
40.					Sold (part)	08/08/19	J		
41.					Sold (part)	09/09/19	J		
42.					Sold (part)	10/07/19	J		
43.					Sold (part)	11/08/19	J		
44.					Sold (part)	11/22/19	J		
45.					Sold (part)	12/09/19	J		
46.					Sold (part)	12/20/19	J		
47. Brokerage Account #13									
48. -MetLife Mid Cap Stock Index Portfolio		None			Sold	06/18/19	M		
49. -MetLife Stock Index Portfolio		None			Sold	06/18/19	M		
50. -Russell 2000 Index Portfolio		None			Sold	06/18/19	M		
51. -MetLife MSCI EAFE Index Portfolio		None			Sold	06/18/19	M		

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. -MetLife Fixed Interest Account					Buy	06/18/19	O		
53.					Sold	07/01/19	O		
54. Brokerage Account #14									
55. -National Financial Services LLC Bank Deposit Sweep Account	A	Interest			Buy	07/01/19	O		
56.					Sold (part)	07/03/19	M		
57.					Sold (part)	07/15/19	M		
58.					Sold (part)	08/14/19	M		
59.					Sold (part)	08/16/19	L		
60.					Sold (part)	12/11/19	K		
61.					Sold	12/18/19	M		
62. -American Funds Moderate Growth & Income Port Class A	D	Dividend	O	T	Buy	07/03/19	M		
63.					Buy (add'l)	07/15/19	M		
64.					Buy (add'l)	08/14/19	M		
65.					Buy (add'l)	08/16/19	L		
66.					Buy (add'l)	12/18/19	M		
67. Synchrony Bank Cash Equivalent Account	A	Interest	K	T					

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Richard Linn**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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